



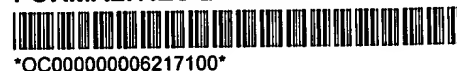
## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/846,054	05/01/2001 04/30/2001	John R. Gustafson	K35A0459

CONFIRMATION NO. 4487

## FORMALITIES LETTER



\*OC000000006217100\*

WON TAE C. KIM, ESQ.  
WESTERN DIGITAL TECHNOLOGIES  
20511 LAKE FOREST DRIVE  
INTELLECTUAL PROPERTY DEPT C2  
LAKE FOREST, CA 92630-7741

Date Mailed: 06/22/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/19/2001 BABRAHA1 00000034 231209 09846054

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PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/846,054	
	Filing Date	4/30/2001	
	First Named Inventor	JOHN R. GUSTAFSON	
	Group Art Unit	2652	
	Examiner Name	UNKNOWN	
Total Number of Pages in This Submission	17	Attorney Docket Number	K35A0459

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request for Correction of Title/Filing Date Copy of filing receipt and express mail bill Declaration for Utility Application Recordation Form Cover Sheet Power of Attorney Postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	WESTERN DIGITAL TECHNOLOGIES - Won Tae C. Kim, 40,457
Signature	W. Chm /
Date	9/10/01

CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 09/10/2001		
Typed or printed name	Adriana Varela	
Signature		Date 9/10/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/17 (11-00)  
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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 255.00

## Complete if Known

Application Number	09/846,054
Filing Date	4/30/2001
First Named Inventor	JOHN F. GUSTAFON
Examiner Name	UNKNOWN
Group Art Unit	2652
Attorney Docket No.	K35A0459

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 23-1209  
Deposit Account Name: WESTERN DIGITAL CORPORATION

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ )

### 2. EXTRA CLAIM FEES

Total Claims:  -20\*\* =  X  =   
Independent Claims:  - 3\*\* =  X  =   
Multiple Dependent:  =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ )

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	105.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	110.00
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_  
SUBTOTAL (3) (\$ ) 255.00

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type) Won Tae C. Kim

Signature

W. Chae

Registration No. (Attorney/Agent)

40,457

## Complete (if applicable)

Telephone

949-672-7813

Date

9/10/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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PATENT  
Docket No. K35A0459

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: John R. Gustafson

Group No. 2652

Serial No.: 09/846,054

Examiner: Unknown

Filed: 04/30/2001

For: SHOCK ISOLATION BEARINGS AND TRAVEL LIMIT GAPS IN A  
SPINDLE MOTOR AND DISK DRIVE USING THE SAME

Honorable Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED  
OCT 23 2001

OFFICE OF PETITIONS

Sir:

**REQUEST FOR CORRECTION OF TITLE AND FILING DATE**

Applicants Attorney hereby requests that a correction be made in the Title of Invention and Filing Date for the above-referenced patent application due to a typographical error which was discovered in the Filing Receipt dated June 22, 2001. **The filing date should be April 30, 2001.** The Title of Invention should read as follows:

**SHOCK ISOLATION BEARINGS AND TRAVEL LIMIT GAPS IN A SPINDLE  
MOTOR AND DISK DRIVE USING THE SAME**

Attached is a copy of the document with the edit correction noted, and a copy of the Express Mail receipt showing the application was deposited with the U.S. Post Office on April 30, 2001.

The Examiner is respectfully requested to make the above-requested correction in connection with the above-referenced patent application.

Respectfully submitted,

*W. Chin*

9/10/01

WESTERN DIGITAL CORPORATION  
Intellectual Property Department - C2  
20511 Lake Forest Drive  
Lake Forest, CA 92630  
Telephone: (949) 672-7813

By: Won Tae C. Kim, Esq.  
Attorney for Applicants  
Registration No. 40,457

Date

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Hon. Assistant Commissioner for Patents, Washington D.C. 20231 on 09-10-2001.

*Adriana Varela*  
Adriana Varela, Patent Paralegal



UNITED STATES PATENT AND TRADEMARK OFFICE

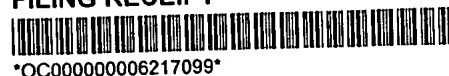
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/846,054 ✓	05/01/2001	2652	1556	K35A0459	8 ✓	67	3

04/30/2001

CONFIRMATION NO. 4487

## FILING RECEIPT



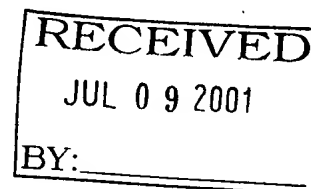
\*OC00000006217099\*

 WON TAE C. KIM, ESQ.  
 WESTERN DIGITAL TECHNOLOGIES  
 20511 LAKE FOREST DRIVE  
 INTELLECTUAL PROPERTY DEPT C2  
 LAKE FOREST, CA 92630-7741

Date Mailed: 06/22/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

 John R. Gustafson, Los Gatos, CA;  
 Nils E. Larson, San Jose, CA;  
 Mats A. Engwall, San Juan Bautista, CA;


Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 06/22/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

SHOCK  
(Shok)

isolation bearings and travel limit gaps in a spindle motor and disk drive using the same

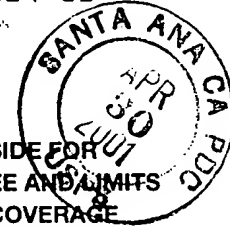
Preliminary Class



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